



IFW

Docket No. 295115US0PCT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: Lysander CHRISSTOFFELS, et al.

SERIAL NO: 10/591,796

GAU:

FILED: September 6, 2006

EXAMINER:

FOR: METHOD FOR PRODUCING AQUEOUS POLYVINYLLACTAM DISPERSIONS

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☒ The applicant(s) wish to make of record the references listed on the attached form PTO-1449, some of which are cited in the attached International Search Report. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☐ Attached is a list of applicant's pending application(s), published application(s) or issued patent(s) which may be related to the present application. In accordance with the waiver of 37 CFR 1.98 dated September 21, 2004, copies of the cited pending applications are not provided. Cited published and/or issued patents, if any, are listed on the attached PTO form 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

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Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY DOCKET NO.  
295115US0PCTSERIAL NO.  
10/591,796

## LIST OF REFERENCES CITED BY APPLICANT

APPLICANT  
Lysander CHRISSTOFFELS, et al.FILING DATE  
September 6, 2006

GROUP

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	5,373,074	12/13/1994	Chi-San WU, et al.			
	AB	5,338,814	08/16/1994	Chi-San WU, et al.			
	AC	5,362,815	11/08/1994	Jenn S. SHIH, et al.			
	AD	5,306,795	04/26/1994	Jenn S. SHIH, et al.			
	AE	2002/0022699 A1	02/21/2002	Toshiaki KURIYAMA, et al.			
	AF	6,001,920	12/14/1999	Mark SIRFARAZ GHAFLOOR, et al.			
	AG	6,426,383 B1	07/30/2002	Dodd W. FONG, et al.			
	AH	6,894,110 B2	05/17/2005	Dodd W. FONG, et al.			
	AI	4,380,600	04/19/1983	Yoshikazu HOSODA, et al.			
	AJ	6,608,124 B1	08/19/2003	Sun-Yi HUANG, et al.			
	AK	6,664,326 B1	12/16/2003	Sun-Yi HUANG, et al.			
	AL	5,919,854	07/06/1999	Sun-Yi HUANG, et al.			
	AM	5,843,320	12/01/1998	Sun-Yi HUANG, et al.			
	AN	6,702,946 B1	03/09/2004	Sun-Yi HUANG, et al.			
	AO	5,696,228	12/09/1997	Michael W. COVILLE			
	AP	5,792,366	08/11/1998	Michael W. COVILLE			
	AQ	6,310, 124 B1	10/30/2001	Sun-Yi HUANG, et al.			
	AR	2002/0058745 A1	05/16/2002	Sun-Yi HUANG, et al.			
	AS	2002/0165307 A1	11/07/2002	Sun-Yi HUANG, et al.			
	AT	6,235,205 B1	05/22/2001	Sun-Yi HUANG, et al.			
	AU	2001/0014712 A1	08/16/2001	Sun-Yi HUANG, et al.			
	AV	6,113,068	09/05/2000	Dana Wm. RYAN			
	AW	6,299,131 B1	10/09/2001	Dana Wm. RYAN			
	AX	3,902,929	09/02/1975	Anthony George MESZAROS			
	AY	4,528,044	07/09/1985	Joseph F. WARCHOL			
	AZ	4,738,731	04/19/1998	Robert W. Foreman			

☐ Additional References sheet(s) attached

Examiner

Date Considered

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. 295115US0PCT		SERIAL NO. 10/591,796	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT Lysander CHRISSTOFFELS, et al.			
				FILING DATE September 6, 2006		GROUP	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	BA	4,595,425	06/17/1986	Ronald H. HARDING			
	BB	3,576,776	12/19/1968	J. A. MUSZIK, et al.			
	BC	4,750,482	06/14/1988	David L. SIEVERDING			
	BD	6,066,689	05/23/2000	Peter Spiros COLUMBUS, et al.			
	BE						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                      NO		
	BF	WO 94/18241	08/18/1994	WIPO (corr. US 5,373,074)			
	BG	WO 94/22953	10/13/1994	WIPO (with English abstract attached)			
	BH	90406	09/30/1996	ROMANIA (with English Abstract attached)			X
	BI	93230	12/30/1987	ROMANIA (with English Abstract attached)			X
	BJ	WO 98/31748	07/23/1998	WIPO (corr. US 6,001,920)			
	BK	WO 98/54234	12/03/1998	WIPO (with corr. EP 0 984 990 B1, corr. US 6,426,383 B1 and corr. US 6,894,110 B2)			
	BL	0 630 909 A1	12/28/1994	EUROPE (with corr. CA 2 125 084)			
	BM	2 125 084	12/05/1994	CANADA			
	BN	0 984 990 B1	03/15/2000	EUROPE			
	BO	WO 98/14405	04/09/1998	WIPO (corr. US 6,608,124 B1, US 6,664,326 B1, US 5,919,854, US 5,843,320, US 6,702,946 B1, US 5,696,228, US 5,792,366, US 6,310,124 B1, US 2002/0058745 A1, 2002/0165307 A1, US 6,235,205 B1, and US 2001/0014712 A1)			
	BP	WO 00/20470	04/13/2000	WIPO (corr. US 6,113,068 and US 6,299,131 B1)			
	BQ	33 45 253 C2	07/12/1984	GERMANY (with corr. GB 2 133 048 A)			X
	BR	2 133 048 A	07/18/1984	United Kingdom			
	BS	33 45 254 A1	06/20/1984	GERMANY (with corr. GB 2 133 047 A)			X
	BT	2 133 047 A	07/18/1984	United Kingdom			
	BU	44 15 098 C1	09/07/1995	GERMANY			X
	BV	0 218 677	04/22/1987	EUROPE (copy not available submitting cover page only, with corr. WO 86/05823 and corr. US 4,595,425)			
	BW	WO 86/05823	10/09/1986	WIPO			
	BX	62-170415	07/27/1987	JAPAN (with English Abstract attached)			X
	BY	WO 98/47953	10/29/1998	WIPO (corr. US 6,066,689)			
	BZ	43 42 281 A1	06/14/1995	GERMANY (with corr. to CA 2 178 328, and corr. WO 95/15986)			
	CA	2 178 328	06/15/1995	CANADA (copy not available submitting cover page only)			
	CB	WO 95/15986	06/15/1995	WIPO			
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
Examiner					Date Considered		
*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

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**STATEMENT OF RELEVANCY**

References AA through AE, AI, AX through AZ, BB, BC, BF through BL, BN through BQ, BS, BU, BV, and BX through BZ on Form PTO-1449 are discussed in the specification.